

OT/03

QMS and EMS Audit Process Booklet



1. Purpose:

The purpose of this document is to set out ATK's policy regarding to process of audit of QMS and EMS

2. Scope:

Apply for all QMS and EMS audit and certification process.

3. Reference:

IAF MD 5, EA-7/04 M: 2017

4. Definition:

5. Procedure

5.1. Methodology for Determining Audit Time of Management Systems and Conducting Audit

Audit Man/day shall be specifying based on procedure 15 and 17 and determine by P20/06.
For an EMS audit, it is appropriate to base audit time on the effective number of personnel of the organization and the nature, number and gravity of the environmental aspects of the typical organization in that industry sector.

The effective number of personnel is used as a basis for the calculation of audit time of management systems. Considerations for determining the effective number of employees include part-time personnel and employees partially in scope, those working on shifts, administrative and all categories of office staff, similar or repetitive processes and the employment of large numbers of unskilled personnel in some countries. In case of seasonal operations (e.g. harvesting activities, holiday villages and hotels, etc.) the calculation of the effective number of personnel shall be based on the personnel typically present in peak season operations.

The justification to determine the effective number of personnel shall be available to the client organization and to the Accreditation Body for review during their assessments and on request from the Accreditation Body.

Part time personnel and employees partially in scope

Dependent upon the hours worked, part time personnel numbers and employees partially in scope may be reduced or increased and converted to an equivalent number of full time personnel. (e.g. 30 part time personnel working 4 hours/day equates to 15 full time personnel.)

It is calculated in P0/06 automatically.



Similar or repetitive process within scope

For QMS and EMS, when a high percentage of personnel perform certain activities/positions that are considered repetitive (e.g. cleaners, security, transport, sales, call centers, etc.) a reduction to the number of personnel which is coherent and consistently applied on a company to company basis within the scope of certification is permitted. The methods incorporated for the reduction shall be documented to include any consideration of the risk of the activities/positions.

So it is important that the client fill up application form Form P17/18 completely and determine related personnel and number of doing same work to calculate effectiveness personnel.

Shift work employees

App reviewer shall determine the duration and timing of the audit which will best assess the effective implementation of the management system for the full scope of the client activities, including the need to audit outside normal working hours and various shift patterns. This shall be agreed with the client.

HOC should ensure that any variation in audit time does not compromise the effectiveness of audits.

For QMS and EMS, where product or service realization processes operate on a shift basis, the extent of auditing of each shift by HOC depends on the processes done on each shift, and the level of control of each shift that is demonstrated by the client. To audit effective implementation, at least one of the shifts shall be audited. The justification for not auditing the other shifts (e.g. those outside of regular office hours) shall be documented. It is responsibility of IMS Scheme Manager to inform to the Lead Auditor to consider this issue in audit plan.

Temporary unskilled personnel

This issue normally only applies for organizations with a low level of technology where temporary unskilled personnel may be employed in considerable numbers to replace automated processes.

For QMS and EMS, under these circumstances, a reduction in effective personnel may be made. Being the consideration of processes more important than employee number, this reduction is unusual and the justification for doing so shall be recorded and made available. but we don't have this option for reduction audit man/day in Form P20/06.

TEMPORARY SITES

In situations where the certification applicant or certified client provides their product(s) or service(s) at temporary sites, such sites shall be incorporated into the audit programs.

Temporary sites could range from major project management sites to minor service/installation sites. The need to visit such sites and the extent of sampling should be based on an evaluation of the risks of the failure of the QMS to control product or service output or the EMS to control environmental aspects and impacts.



For QMS and EMS the sample of sites selected should represent the range of the client's scope of certification, competency needs and service variations having given consideration to sizes and types of activities, and the various stages of projects in progress and associated environmental aspects and impacts.

Typically, on-site audits of temporary sites would be performed. However, the following methods could be considered as alternatives to replace some on-site audits:

- i) Interviews or progress meetings with the client and/or its customer in person or by teleconference.
- ii) Document review of temporary site activities.
- iii) Remote access to electronic site(s) that contains records or other information that is relevant to the assessment of the management system and the temporary site(s).
- iv) Use of video and teleconference and other technology that enable effective auditing to be conducted remotely

It should be noted that if the company have temporary site such as construction of building company, the App reviewer shall click on Operations at temporary sites section and put on YES. in this section, automatically 5% will be add to audit time.

AUDIT TIME OF A MULTI-SITE MANAGEMENT SYSTEM

For multiple site it will done based on Procedure NO 35.

CONTROL OF EXTERNALLY PROVIDED FUNCTIONS OR PROCESSES (OUTSOURCING):

If an organization outsources part of its functions or processes, it is the responsibility of ATK to obtain evidence that the organization has effectively determined the type and extent of controls to be applied in order to ensure that the externally provided functions or processes do not adversely affect the effectiveness of the MS, including the organization's ability to consistently deliver conforming products and services to its customers or to control its environmental aspects and commitments to comply with legal requirements.

For QMS and EMS the CAB will audit and evaluate the effectiveness of the client's management system in managing any supplied activity and the risk this poses to the delivery of objectives, customer and conformity requirements. This may include gathering feedback on the level of effectiveness from suppliers. However, auditing the supplier's management system is not required, considering that it is included in the scope of the organization's management system only the control of the supplied activity, and not the performance of the activity itself. From this understanding of risk any additional audit time shall be determined.



It is responsibility of Lead auditor to check it in audit place.

5.2. Compliance obligations (EMS)

HOW SHOULD A CERTIFICATION BODY AUDIT AN EMS WITH RESPECT TO LEGAL COMPLIANCE

Through the certification assessment process, ATK shall evaluate an organisation's conformity with the requirements of ISO 14001:2015 as they relate to its compliance obligations and shall not grant certification until conformity can be demonstrated, taking into account the provisions of clause 4.

After certification, the subsequent surveillance and recertification audits conducted by ATK shall be consistent with the above audit methodology, taking into account the considerations.

With respect to the balance between review of documents and records and the evaluation of the EMS implementation during on-site audit activities (e.g. tour of facilities, audit at work floor), HOC shall ensure that an adequate audit of the effectiveness of the EMS is undertaken.

There is no formula to define what the relative proportions should be, as the situation is different in every organisation. However, there are some indications that too much of the audit time is dedicated to an office-based review is a problem that occurs with some frequency. This could lead to an inadequate assessment of the effectiveness of the EMS with respect to legal compliance issues, and potentially to poor performance being overlooked, leading to a loss of stakeholder confidence in the certification process. ATK shall, through an appropriate surveillance program, assure that conformity is being maintained during the certification cycle, normally three-years. ATK approved auditors shall verify the management of compliance obligations based on demonstrated implementation of the system and not rely only on planned or expected results.

Any organization failing to demonstrate their initial or ongoing commitment to compliance obligations through the key elements discussed below, shall not be certified or continued to be certified as meeting the requirements of ISO 14001:2015 ATK

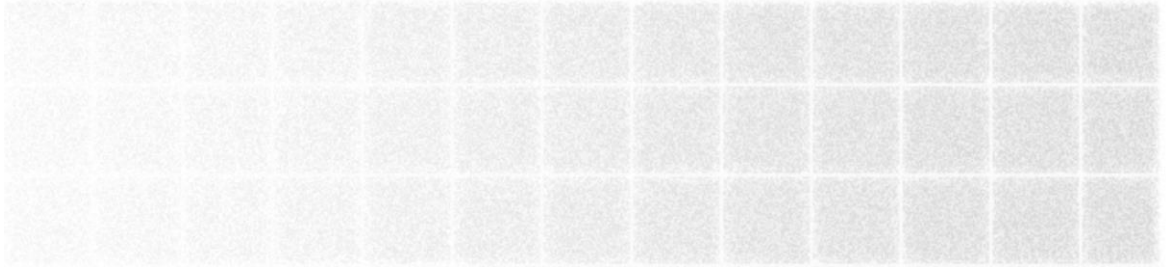
Deliberate or consistent non-compliance shall be considered a serious failure to support the policy commitment to achieving compliance obligations and shall preclude certification or cause an existing ISO 14001 certificate to be suspended, or withdrawn.

The following sections of this document identify what should reasonably be expected on the part of ATK in evaluating the EMS with respect to legal compliance:

1- A environmental policy commitment to legal compliance

2- Identification of, and access to, legal requirements
(clause 4.2 and 6.1.3)

3-How legal requirements apply to the organisation's environmental aspects (clause 6.1.3)



- 4- Environmental Objectives and planning to achieve them (clause 6.2)
- 5- Operational planning and control (clause 8.1)
- 6- Monitoring, measurement, analysis and evaluation - general (clause 9.1.1)
- 7- Evaluation of legal compliance (clause 9.1.2)
- 8- Nonconformity and corrective action (clause 10.2)
- 9- Internal audit (clause 9.2)
- 10- Management review (clause 9.3)

COMPLIANCE CRITERIA FOR THE CERTIFICATION DECISION

Full legal compliance is expected by stakeholders and interested parties of an organization claiming conformity with an EMS standard. The perceived worth of accredited certification in this field is closely related to the achieved satisfaction of the interested parties in relation to legal compliance. The organisation should be able to demonstrate that it has achieved compliance with environmental legal requirements through its own evaluation of compliance prior to the granting certification. Where the organization may not be in legal compliance, they should be able to demonstrate a documented agreement with the environmental regulator on a plan to achieve full compliance. The successful implementation of this plan should be considered as a priority within the management system. Exceptionally ATK may still grant certification but shall seek objective evidence to confirm that the EMS is capable of achieving the required compliance through the above documented agreement having been fully implemented. Through the requirements of ISO/IEC 17021-1, clause 9.4.8.3 a) and the intended outcomes being explicitly stated in ISO 14001:2015, HOC shall ensure that its audit reports contain a statement on the conformity and the effectiveness of the organization's EMS together with a summary of the evidence with regards to the capability of the EMS to meet its compliance obligations. It should provide by Lead auditor in audit summary section.



6. Related Record

N/A